

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

of

**Complete if Known**

Application Number	09/764,068
Filing Date	1/19/2001
First Named Inventor	Jeff S. Eder
Art Unit	3694
Examiner Name	Stephanie Ziegler
Attorney Docket Number	AR - 19

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (# known)			
/S.Z./		US- 5,311,421 - B1	5/10/1994	Nomura, et al.	All
		US- 5,377,116 - B1	12/27/1994	Wayne, et al.	All
		US- 6,207,936 - B1	3/27/2001	de Waard, et al.	All
		US- 5,812,404 - B1	9/22/1998	Hamalainen, et al	All
		US- 5,933,345 - B1	8/3/1999	Martin, et al.	All
		US- 5,825,653 - B1	10/20/1998	Huovila, et al	All
		US- 6,278,899 - B1	8/21/2001	Piche, et al.	All
		US- 5,774,761 - B1	6/30/1998	Rai, Sudhendu	All
		US- 6,487,459 - B1	11/26/2002	Martin, et al.	All
		US- 6,654,469 - B1	11/25/2003	Nelson, et al.	All
		US- 6,700,923 - B1	3/2/2004	Dowling, et al.	All
		US- 6,315,735 - B1	11/13/2001	Joeken, et al.	All
		US- 6,826,521 - B1	11/30/2004	Hess, et al	All
		US- 6,654,649 - B1	11/25/2003	Treiber, et al	All
		US- 2001/0009590 -	7/26/2001	Holm, Jack	All
		US- 6,934,931 - B1	8/3/2005	Plumer, et al.	All
		US- 7,006,939 - B1	2/28/2006	Voorakaranam, et al.	All
		US- 7,599,870 - B1	10/6/2009	Merkoulovitch et al.	All
/S.Z./		US- 7,542,932 - B1	6/2/2009	Chalermkraivuth et	All

FOREIGN PATENT DOCUMENTS						
Examiner Initials <sup>4</sup>	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> ( <i># known</i> )				

Examiner Signature	/Stephanie Ziegler/	Date Considered	08/09/2011
--------------------	---------------------	-----------------	------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND**  
TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /S.Z./

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

of

**Complete if Known**

Application Number	09/764,068
Filing Date	1/19/2001
First Named Inventor	Jeff S. Eder
Art Unit	3694
Examiner Name	Stephanie Ziegler
Attorney Docket Number	AR - 19

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (# known)			
/S.Z./		US- 5,768,475 - B1	6-16-1998	Godbole, et al.	All
		US- 5,852,811 - B1	12-22-1998	Atkins, Charles	All
		US- 5,889,823 - B1	3-20-1999	Agazzi, et al.	All
		US- 5,938,594 - B1	8-17-1999	Poon, et al.	All
		US- 5,950,182 - B1	9-7-1999	Godbole, et al.	All
		US- 6,308,162 - B1	10-23-2001	Ouimet, et al.	All
		US- 7,142,307 - B1	11-28-2006	Stark; Edward W.	All
		US- 7,778,910 - B1	8-17-2010	Ballow, et al	All
		US- 7,716,108 - B1	5-11-2010	Chiappetta, et al	All
		US- 7,617,141 - B1	11-10-2009	Chiappetta, et al	All
		US- 7,778,856 - B1	8-17-2010	Reynolds, et al	All
		US- 7,921,061 - B1	4-5-2011	Rangarajan, et al	All
		US- 2002/0097245	7-25-2002	Jeong, et al.	All
		US- 6,826,531 - B1	11-30-2004	Fukada; Toshiaki	All
		US- 6,219,649 - B1	4-17-2001	Jameson, Joel	All
/S.Z./		US- 6,625,577 - B1	9-23-2003	Jameson, Joel	All
		US-			
		US-			
		US-			

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (# known)				

Examiner Signature	/Stephanie Ziegler/	Date Considered	08/09/2011
--------------------	---------------------	-----------------	------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND**

TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /S.Z./

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>		<b>Complete if Known</b>		
		Application Number	09/764,068	
		Filing Date	1/19/2001	
		First Named Inventor	Jeff S. Eder	
		Art Unit	3694	
		Examiner Name	Stephanie Ziegler	
Sheet		of	Attorney Docket Number	AR - 19

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
/S.Z./		SCHULZE, MARK; "Linear Programming for Optimization", 1998; pages 1 - 8; Perceptive Scientific Instruments, USA	
		SMITH, COLE et al, "A Tutorial Guide to Mixed-Integer Programming Models AND Solution Techniques", 2007, pages 1 - 23, Univeristy of Florida, USA	
		HECHING, ALIZA; and KING, ALAN; "Financial Engineering"; Operations research and management science handbook, pages 21-1 through 21-37; 2008, CRC Press, USA	
		LINK, JONATHAN, "Addendum to petition for relief for 11/360,087", March 1, 2011, pages 1 - 10, Kilpatrick Townsend, U.S.A.	
		EPPEN, GARY; MARTIN, R.; SCHRAGE, LINUS, "A Scenario Approach to Capacity Planning", Operations Research, Vol. 37, No. 4, July 1989, pages 517-527	
		STEIN, JEREMY et al, "A comparables approach to measuring cash flow at risk for non financial firms", Journal of Applied Corporate Finance, Winter 2001, pages 100 - 109	
		HODDER, J., "Financial Market Approaches to Facility Location under Uncertainty", Operations Research, vol. 32, pp. 1374-1380, 1984	
		HODDER, J., et al., "A Simple Plant-Location Model for Quantity Setting Firms Subject to Price Uncertainty", European Journal of Operational Research; Amsterdam, vol. 21, pp. 39-46, 1985	
		BRADLEY, STEPEHEN; HAX, ARNOLDO; MAGNANTI, THOMAS; "Applied Mathematical Programming", pages 227 - 271, 1977, Addison Wesley, USA	
/S.Z./		ZOMAYA, ALBERT; KAZMAN, RICK, "Simulated Annealing Techniques," Algorithms and theory of computation handbook, pages 33-1 to 33-18, 2010, CRC Press, USA	

Examiner Signature	/Stephanie Ziegler/	Date Considered	08/09/2011
--------------------	---------------------	-----------------	------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO:** Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /S.Z./

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>		<b>Complete if Known</b>		
		Application Number	09/764,068	
		Filing Date	1/19/2001	
		First Named Inventor	Jeff S. Eder	
		Art Unit	3694	
Examiner Name	Stephanie Ziegler			
Sheet		of	Attorney Docket Number	AR - 19

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
/S.Z./		MORRIS, COHEN, FISHER, MARSHALL, RAMCHADRAN, JAIKUMAR; "Managing International Manufacturing", pages 67 - 93, 1989, Elsevier, USA	
		CARE, ALGO; GARATTI, SIMONE et al, "Data-driven optimization through the scenario approach", pages 1 - 12, September 2010, University of Brescia, Italy	
		JENSEN, PAUL and BARD, JONATHAN, Operations Research Models and Methods, pages A1 - A6, John Wiley and Sons, 2003, USA	
		OWENS, TERRY J; LORIN, HUBERT C.; and FETTING, ANTON, "Decision on Appeal 2009-012839, Application 09/688,983"; March 16, 2011; pages 1 - 18, U.S.P.T.O., USA	
		ROCKEFELLER, R.T., WETS, ROGER, "Scenario and policy aggregation in optimization under uncertainty", Mathematics of Operation Research, pages 119 - 147, 1991, USA	
		KON, STANLEY and JEN, FRANK, "The Investment Performance of Mutual Funds", The Journal of Business, Vol. 52, No. 2 (Apr., 1979), pp. 263-289, USA	
		IPPOLITO, RICHARD, On Studies of Mutual Fund Performance, 1962-1991, Financial Analysts Journal, Vol. 49, No. 1 (Jan. - Feb., 1993), pp. 42-50, USA	
		MULVEY, JOHN and ANDRZEJ RUSZCZYNSKI "A New Scenario Decomposition Method for Large-Scale Stochastic Optimization" Operations Research, vol. 43 (1995), No. 3, p. 477-490, USA	
		TREYNOR, JACK and MAZUY, KAY, "Can Mutual Funds Outguess the Market?", Harvard Business Review, July - August 1996, pages 131 - 136, USA	
/S.Z./			

Examiner Signature	/Stephanie Ziegler/	Date Considered	08/09/2011
--------------------	---------------------	-----------------	------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO:**  
Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /S.Z./